



Arizona Department of Transportation

Civil Rights Office

1135 N. 22nd Ave. 2nd Fl. Phoenix, Arizona 85009

Janice K. Brewer
Governor

John S. Halikowski
Director

John A. Bogert
Chief of Staff

April 12, 2011

To: Currently Certified DBE's with the Arizona Unified Certification Program (AZUCP)

Re: Disadvantaged Business Enterprise (DBE) Re-newel Application

Once your company is certified as a DBE, the certification shall remain valid for a period of three years. After this three-year period of time you must **Re-new** with the Arizona UCP if you wish to remain certified as a DBE.

Please complete and electronically submit through the online system, as soon as possible but no later than **June 1, 2011**:

- 1) "2011 DBE Re-newel Application"
- 2) "Personal Financial Statement form"
- 3) "Affidavit" (this form must be notarized)
- 4) A complete copy of the company's most recent federal tax return. If your company filed for an extension in 2009 and never submitted the 2009 taxes to our office, please include those in your package. Also, if you filed for an extension for your 2010 taxes, please provide our office with a copy of the extension that is provided by the IRS. Failure to submit copies of the extensions or your previous taxes will delay the re-newel process.
- 5) A complete copy of the most recent personal federal tax return for each minority and/or woman owner that qualifies the company to be eligible as a DBE. If an extension was filed for the 2010 taxes, please provide our office with a copy of the extension that is provided by the IRS. Failure to submit copies of the extensions or your previous taxes will delay the re-newel process

You must notify this office in writing within **30 days** of any changes in circumstances affecting the disadvantaged status (e.g., changes in ownership, board of directors, license holders). Please attach supporting documentation describing the nature of such changes.

Failure to comply with the above stated requirements shall be grounds for removal of DBE eligibility.

We look forward to working with you in carrying out the objectives of the program. If you have any questions, please call this office at (602) 712-7761.

Sincerely,

Jamie Geist
Certification Program Manager
ADOT Civil Rights Office

Arizona Unified Certification Program (AZUCP)

2011 DBE Re-newel Application

Name of DBE Company: _____

Business Address (physical location):

Street Address or P.O. Box: _____

City: _____ State: _____ Zip: _____

Mailing Address:

Street Address or P.O. Box: _____

City: _____ State: _____ Zip: _____

Telephone # () _____ FAX # () _____ E-Mail _____

Type of work performed by the company: _____

NAICS codes assigned to company:

List of Owners of Company:

Name of Owner	Race/Ethnicity	Gender	% Owned
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Name of the person who holds the highest position with the company:

Name: _____ Position Title: _____

Responsibilities: List the name(s) of the individual(s) and the percentage (%) of responsibility for the following positions.

Area of Responsibility	Name	Percent (%)
1) Financial Decisions	_____	_____
2) Office Management	_____	_____
3) Estimating	_____	_____
4) Marketing/ Sales	_____	_____
5) Hiring/Termination (Field Personnel)	_____	_____
6) Hiring/ Termination (Mgmt. Personnel)	_____	_____
7) Purchasing (Major)	_____	_____
8) Negotiating (bonds/loans)	_____	_____
9) Supervision of Field Operations	_____	_____
10) Contract Negotiations	_____	_____

Describe and explain any changes in the by-laws in the last three (3) years that affect: the duties and/or powers of the principles, officers, and/or directors of the corporation. (Provide official documentation to show and support any changes)

All Companies Must Submit the Following:

- 1) Copies of all agreements for space, equipment, services such as accounting, etc., that was entered into within the last 3 years.
- 2) Resumes of new principles, new owners, new superintendents, and new managers hired within the last 3 years.
- 3) A list of all major equipment acquired within the last 3 years, and from whom acquired.
- 4) A complete copy of the most recent federal tax return and attachments for your company.
- 5) A complete copy of the most recent personal federal tax return for all minority and/or women owners of the company who qualify the company as a DBE.
- 6) A current "Personal Financial Statement" (form online) for all minority and/or women owners of the company who qualify the company as a DBE.
- 7) The Affidavit signed by all minority and/or women owners who qualify the company as a DBE.

AFFIDAVIT

The undersigned swears that he or she has read and understands this re-certification application and that he or she has the authority to sign this affidavit, and that the responses, statements, and accompanying documents are true, complete, and correct.

(Name of Applicant Firm)

The above named firm agrees:

- 1) To abide by the requirement of the Disadvantaged Business Enterprise Program and all of the applicable rules/regulations/policy guidelines of all entities under which the firm will hold certification.
- 2) To notify all entities under which the firm holds certification within **thirty (30) days** of any changes in the ownership, control, management, or status of the firm, and any denial or decertification of this firm as a DBE by any other certifying agency.
- 3) That, in order to monitor the status of my firm, all entities under which the firm holds certification has the right to conduct a review of the firm's books, contracts, facilities, and records and to review other additional information as deemed necessary to complete such process.
- 4) That failure to answer any question or to supply all entities under which the firm holds certification with any documentation requested during the application process may be cause to deny the certification request.
- 5) That all entities under which the firm holds certification, for cause, may withdraw certification after applying its own approved procedures.
- 6) That all entities under which the firm holds certification may deny certification or rescind certification and initiate action under Federal or State laws concerning false statements, if during or after the re-certification process, it finds that the undersigned has submitted false, inaccurate or misleading information.
- 7) That all entities under which the firm holds certification, have the right to refuse certification of any firm, based on the implementation of the DBE eligibility standards, despite the fact that said firm may be certified by another entity.
- 8) That the undersigned agrees to provide, through the prime contractor or, if no prime, directly to all entities under which the firm holds certification, current, complete, and accurate information regarding actual work performed on the project, the payment therefore, and any proposed change, if any, of the forgoing arrangements and to permit the audit and examination of books, records and files of the named firm. Any material misrepresentation will be grounds for terminating any contract, which may be awarded, and for initiating action under Federal or State laws concerning false statements.

By my signature I recognize and accept the eight (8) statements above governing the consideration of this re-certification application and the maintenance of my firm's certified status.

Printed Name of Owner _____

Owner's Signature _____ Date _____

Notary Public _____ State _____

Commission Expires _____